



Washington State Department of
Financial Institutions

Securities Division
PO Box 9033
Olympia WA 98507-9033
360-902-8760
Fax: 360-902-0524

Complaint Report

Please print or type:

Investor Information

Your Name _____ Birth Date _____

Address _____

City _____ State _____ Zip Code _____

Phone (day) _____ (eve) _____ Best time to call _____

E-mail Address _____ Occupation _____

Complaint Against

Name of business _____

Person you dealt with _____

Address _____

City _____ State _____ Zip Code _____

Phone _____ Cell phone (if any) _____

Business E-mail or Web Site Address _____

Names, Addresses, and phone numbers of any other businesses, or persons involved in your complaint:

Your Complaint

How and when did you first hear about this investment?

How much money did you invest? _____

What date(s)? _____

What kind of investment(s) did you buy? _____

How did you pay for your investment(s) (e.g., personal or cashier's check, cash, wire transfer, etc.)?

What method did you use to deliver the payment (e.g., in person, mail, fed ex, etc.)?

How and when did the person first contact you? _____

Please list any courier or postal service used by the person to contact you and when that contact occurred:

Have you complained to the person or firm? If yes, please describe. Was your complaint in writing, or did you speak to someone? If in writing, please send a copy of the complaint. If you spoke with a person, who was it and when did it happen?

Have you contacted any other regulator or taken any legal action? If yes, please describe.

Explain your complaint in detail

Please provide a detailed explanation of the facts that led to your complaint. Start at the beginning and continue through to the present. Be sure to include AT LEAST the following information: How, when, and from whom did you first hear about this investment? What verbal and/or written information did you receive about the investment? Did you later find that any of this information was untrue?

(Use additional pages if necessary and attach to this report)

Documents

Please attach copies of any documents or written materials relating to your complaint, including the front and back of any checks you used to pay for your investment(s). If your complaint involves brokerage accounts, please make copies of the brokerage statements showing the transaction(s). We will ask for the original documents if we need them.

If you send any materials you want returned, please indicate what you want returned below-

Request for Nondisclosure under the Public Records Disclosure Act

Under the public records provisions of Washington law, RCW 42.17 et seq., this complaint may become subject to public disclosure after the investigation is ended.

☐ By checking the box, I request this complaint not be disclosed if it is requested pursuant to the Public Records Disclosure Act.

Other Investors

Do you know anyone else who purchased the investment that is the subject of this complaint?
If so, please list their names, addresses, phone numbers.

Jurisdiction of the Securities Division

The jurisdiction of the Securities Division generally extends only to issues connected with the initial offer and sale of securities, franchises, business opportunities, and commodities. We may not have jurisdiction if your complaint involves later actions by management that you think are unfair to investors, or in actions by management such as the failure to hold shareholder meetings or provide annual reports. However, you may have civil remedies available to address your complaint, so please consult your attorney. Also, the Division does not have the authority to represent you in civil litigation, which means you must hire your own attorney to recover your investment funds.

Signature

In filing this signed and dated complaint form with the Securities Division, I am stating that the information provided is true and correct to the best of my knowledge and that the information may be used to further investigate my complaint.

Signature Date